

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

Page 1 of 8

SPENCER T. BACHUS III

(Full Name)

(202) 225-4921

(Daytime Telephone)

(Office Use Only)

Filer Status

☒ Member of the U.S. House of Representatives

State: AL
District: 06

☐ Officer Or Employee

Employing Office:

Report Type

Annual (May 15)

☒ Amendment

☐ Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Standards of Official Conduct.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

HAND DELIVERED

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SPENCER T. BACHUS III

Page 2 of 8

BLOCK A Asset and/or Income Source		BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other assets or sources of income which generated more than \$200 in "unearned" income during the year. For rental property or land, provide a complete address. Provide full names of stocks and mutual funds (do not use ticker symbols). For all IRAs and other retirement plans (such as 401(k) plans) that are self directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value and income information on each asset in the account that exceeds the reporting threshold. For retirement plans that are not self-directed, name the institution holding the account and its value at the end of the reporting period. For an active business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet.</p> <p>Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totaling \$5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.</p>		<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."</p>	<p>Check all columns that apply. For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA." For all other assets, including all IRAs, indicate the type of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if asset did not generate any income during the calendar year.</p>	<p>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, including all IRAs, indicate the category of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if no income was earned or generated.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
	2351 ROCKY RIDGE RD., BIRMINGHAM, AL	None	RENT/CAPITAL GAINS	\$50,001 - \$100,000	S
SP	CITIBANK NA	\$1 - \$1,000	INTEREST	\$1 - \$200	
	CONGRESSIONAL FED CR UN	\$1 - \$1,000	INTEREST	\$1 - \$200	
SP	FIDELITY INVESTMENTS	\$1 - \$1,000	DIVIDENDS/INTE REST	\$1 - \$200	PS(part)
	FIDELITY INVESTMENTS	\$1 - \$1,000	DIVIDENDS/INTE REST	\$1 - \$200	PS(part)
	FXI SHARES FTSE, CALLS	None	DIVIDENDS/CAPIT AL GAINS	\$2,501 - \$5,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SPENCER T. BACHUS III

Page 3 of 8

SP	PACIFIC LIFE ANNUITY	\$250,001 - \$500,000	INTEREST	NONE	
	POWERSHARES QQQ PUTS	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	PS
SP	POWERSHARES QQQ R SER	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
	PROSHARES ULTRA QOI	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	PS
	REGIONS	\$1 - \$1,000	INTEREST	\$1 - \$200	
SP	REGIONS	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
SP	S & P DEPOSITORY	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	PS
SP	SELECT SECTOR SPDR-ENERGY EQTY	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S
SP	SMITH BARNEY IRA	\$100,001 - \$250,000	DIVIDENDS/INTEREST/CAPITAL GAINS	NONE	
SP	SOUTHWOOD PROPERTIES <i>Birmingham, AL</i>	\$100,001 - \$250,000	RENT	\$201 - \$1,000	
SP	UTS SPDR TRUST SAR 1	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
SP	WESTERN ASSET MM	\$100,001 - \$250,000	INTEREST	\$1 - \$200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SPENCER T. BACHUS, III

Page 4 of 8

SP	WESTERN ASST GOV'T MM (IRA ACCT)	\$1,001 - \$15,000	DIVIDENDS/INTE REST	NONE	
SP	PIMCO TOTAL RTN FD (IRA ACCT)	\$1,001 - \$15,000	DIVIDENDS/INTE REST	NONE	
SP	T ROWE PRICE EQTY INC FD (IRA ACCT)	\$50,001 - \$100,000	DIVIDENDS/INTE REST	NONE	
SP	AM CENTURY INT'L BOND (IRA ACCT)	\$1,001 - \$15,000	DIVIDENDS/INTE REST	NONE	
SP	AM CETURY GROWTH (IRA ACCT)	\$50,001 - \$100,000	DIVIDENDS/INTE REST	NONE	
SP	BARON GROWTH (IRA ACCT)	\$1,001 - \$15,000	DIVIDENDS/INTE REST	NONE	
SP	DREYFUS EMERGING MKTS (IRA ACCT)	\$15,001 - \$50,000	DIVIDENDS/INTE REST	NONE	
SP	PHILADELPHIA INT'L (IRA ACCT)	\$15,001 - \$50,000	DIVIDENDS/INTE REST	NONE	
SP	ISHARE	None	INTEREST/CAPIT AL GAINS	\$201 - \$1,000	S
	CALL (XBT) SECTOR SPDR JAN57	\$1 - \$1,000	CAPITAL GAINS	NONE	S
SP	PROSHARES ULTRA SHORT 100	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P

SCHEDULE IV - TRANSACTIONS

Name SPENCER T. BACHUS, III

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CARMAX INC., CALLS JAN10	S	No	01-20-09	\$1,001 - \$15,000
	KANSAS CITY SOUTHERN, CALLS JAN30	S	No	01-12-09	\$15,001 - \$50,000
	MARKET VECTORS ETF, CALLS JAN15	S	No	01-05-09	\$1,001 - \$15,000
	SECTOR SELECT SPDRS, CALLS JAN57	S	No	01-20-09	\$1,001 - \$15,000
	ISHARES TR FTSE, CALLS JAN31	S	No	01-05-09	\$1,001 - \$15,000
	FXI ISSHARES FTSE, CALLS DEC38	P	N/A	11-12-09 11-23-09	\$1,001 - \$15,000
	FXI ISHARES FTSE, CALLS DEC38	S	No	12-21-09	\$1,001 - \$15,000
	FXI ISHARES FTSE	P	N/A	08-26-09	\$1,001 - \$15,000
	FXI ISHARES FTSE	S	Yes	09-21-09	\$1,001 - \$15,000
	POWERSHARES QQQ PUTS, NOV41	P	N/A	10-21-09	\$1,001 - \$15,000
	POWERSHARES QQQ PUTS, NOV41	S	Yes	10-28-09	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name SPENCER T. BACHUS, III

Page 6 of 8

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PROSHARES ULTRA QOI, CALLS JUL32	P	N/A	07-01-09	\$1,001 - \$15,000
	PROSHARES ULTRA QOI, CALLS JUL32	S	Yes	07-08-09	\$1,001 - \$15,000
	POWERSHARES QQQ, CALLS OCT37	P	N/A	09-14-09 10-13-09	\$1,001 - \$15,000
	POWERSHARES QQQ, CALLS OCT37	S	No	10-19-09	\$1,001 - \$15,000
	POWERSHARES QQQ, CALLS DEC38	P	N/A	08-28-09 11-30-09	\$1,001 - \$15,000
	POWERSHARES QQQ, CALLS DEC38	S	No	12-21-09	\$1,001 - \$15,000
	2351 ROCKY RIDGE RD., BIRMINGHAM, AL	S	Yes	07-23-09	\$100,001 - \$250,000
SP	POWERSHARES QQQ R SER	S	Yes	05-06-09	\$50,001 - \$100,000
SP	S & P DEPOSITORY	S	Yes	05-06-09	\$1,001 - \$15,000
SP	SELECT SECTOR SPDR-ENERGY EQTY	S	Yes	05-06-09	\$50,001 - \$100,000
SP	UTS SPDR TRUST SAR 1	S	Yes	05-06-09	\$50,001 - \$100,000

SCHEDULE IV - TRANSACTIONS

Name SPENCER T. BACHUS, III

Page 7 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	SAKS, INC	S	No	04-22-09	\$1,001 - \$15,000
SP	ISHARE	S	Yes	05-06-09	\$1,001 - \$15,000
SP	SECTOR SPDR TR SHS BEN INT ENERGY	S	No	05-01-09	\$1,001 - \$15,000

SCHEDULE V - LIABILITIES

Name SPENCER T. BACHUS III

Page 8 of 8

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	COMPASS BANK, BIRMINGHAM, AL	MORTGAGE ON 2351 ROCKY RIDGE RD., BIRMINGHAM, AL	\$100,001 - \$250,000